PTO/SB/01 (6-95) (modified)
Approved for use through 10/31/96 OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0010/PTO
Rev. 6/95

U.S. Department of Commerce
Patent and Trademark Office

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION

[X] Declaration Submitted with Initial Filing OR [] Declaration Submitted after Initial Filing

Attorney Docket Number	**4919 US**
First Named Inventor	**Ashish K. Verma**
COMPLETE IF KNOWN	
Application Number	**Unassigned**
Filing Date	**Unassigned**
Group Art Unit	**Unassigned**
Examiner Name	**Unassigned**

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE

(*Title of the Invention*)

the specification of which

[X] is attached hereto

OR

[] was filed on (MM/DD/YYYY) [_____] as United States Application Number or PCT International Application Number [_____] and was amended on (MM/DD/YYYY) [_____] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations. § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	NO
			[]	[]	[]
			[]	[]	[]
			[]	[]	[]
			[]	[]	[]
			[]	[]	[]

[] Additional foreign application numbers are listed on a supplemental priority sheet attached hereto:

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
		[] Additional provisional application numbers are listed on a supplemental sheet attached hereto.

DECLARATION	Page 2

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (*if applicable*)

[] Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
Greg T. Sueoka	**33,800**	**Michael W. Farn**	**41,015**

[] Additional attorney(s) and/or agent(s) named on a supplemental sheet attached hereto.

Please direct all correspondence to:

Michael W. Farn
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
U.S.A.

Telephone	(650) 858-7823	Fax	(650) 494-1417

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: [] A petition has been filed for this unsigned inventor

Given Name	**Ashish**	Middle Initial	**K.**	Family Name	**Verma**	Suffix e.g. Jr.	

Inventor's Signature	Ashish Verma	Date	5/25/00.

Residence: City	**San Jose**	State	**CA**	Country	**USA**	Citizenship	**USA**

Mailing Address	**4044 Rio Court**
Mailing Address	

City	**San Jose**	State	**CA**	Zip	**95134**	Country	**USA**

[X] Additional inventors are being named on supplemental sheet(s) attached hereto

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet

Name of Additional Joint Inventor, if any: [] A petition has been filed for this unsigned inventor

Given Name	Arnold	Middle Initial	C.	Family Name	Chen	Suffix e.g. Jr.	

Inventor's Signature		Date	

Residence: City	Fremont	State	CA	Country	USA	Citizenship	USA

Mailing Address	3214 Belmont Terrace
Mailing Address	

City	Fremont	State	CA	Zip	94539	Country	USA

Name of Additional Joint Inventor, if any: [] A petition has been filed for this unsigned inventor

Given Name	Daniel	Middle Initial	A.	Family Name	Francis	Suffix e.g. Jr.	

Inventor's Signature	Daniel A. Francis	Date	5/25/00

Residence: City	Oakland	State	CA	Country	USA	Citizenship	USA

Mailing Address	4240 Gilbert Street
Mailing Address	

City	Oakland	State	CA	Zip	94611	Country	USA

Name of Additional Joint Inventor, if any: [] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name		Suffix e.g. Jr.	

Inventor's Signature		Date	

Residence: City		State		Country		Citizenship	

Mailing Address	
Mailing Address	

City		State		Zip		Country	

Name of Additional Joint Inventor, if any: [] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name		Suffix e.g. Jr.	

Inventor's Signature		Date	

Residence: City		State		Country		Citizenship	

Mailing Address	
Mailing Address	

City		State		Zip		Country	

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U.S. Department of Commerce
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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION

[] Declaration Submitted with Initial Filing OR [X] Declaration Submitted after Initial Filing

Attorney Docket Number	4919 US
First Named Inventor	Ashish K. Verma
COMPLETE IF KNOWN	
Application Number	09/580,322
Filing Date	May 26, 2000
Group Art Unit	Unassigned
Examiner Name	Unassigned

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE

the specification of which (*Title of the Invention*)

[] is attached hereto

OR

[X] was filed on 05/26/2000 as United States Application Number ~~or PCT International~~ Application Number 09/580,322 ~~and was amended on (MM/DD/YYYY) [] (if applicable)~~.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations. § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	NO
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			[]	[]	[]
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			[]	[]	[]
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DECLARATION	Page 2

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Name	Registration Number	Name	Registration Number
Greg T. Sueoka	**33,800**	**Michael W. Farn**	**41,015**

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Please direct all correspondence to:

Michael W. Farn
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
U.S.A.

Telephone	**(650) 858-7823**	Fax	**(650) 494-1417**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: [] A petition has been filed for this unsigned inventor

Given Name	**Ashish**	Middle Initial	**K.**	Family Name	**Verma**	Suffix e.g. Jr.	

Inventor's Signature		Date	

Residence: City	**San Jose**	State	**CA**	Country	**USA**	Citizenship	**USA**

Mailing Address	**4044 Rio Court**
Mailing Address	

City	**San Jose**	State	**CA**	Zip	**95134**	Country	**USA**

[X] Additional inventors are being named on supplemental sheet(s) attached hereto

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet

Name of Additional Joint Inventor, if any:	[] A petition has been filed for this unsigned inventor

Given Name	Arnold	Middle Initial	C.	Family Name	Chen	Suffix e.g. Jr.	
Inventor's Signature	Arnold Chen				Date	8/23/00	
Residence: City	Fremont	State	CA	Country	USA	Citizenship	USA
Mailing Address	3214 Belmont Terrace						
Mailing Address							
City	Fremont	State	CA	Zip	94539	Country	USA

Name of Additional Joint Inventor, if any:	[] A petition has been filed for this unsigned inventor

Given Name	Daniel	Middle Initial	A.	Family Name	Francis	Suffix e.g. Jr.	
Inventor's Signature					Date		
Residence: City	Oakland	State	CA	Country	USA	Citizenship	USA
Mailing Address	4240 Gilbert Street						
Mailing Address							
City	Oakland	State	CA	Zip	94611	Country	USA

Name of Additional Joint Inventor, if any:	[] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name		Suffix e.g. Jr.	
Inventor's Signature					Date		
Residence: City		State		Country		Citizenship	
Mailing Address							
Mailing Address							
City		State		Zip		Country	

Name of Additional Joint Inventor, if any:	[] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name		Suffix e.g. Jr.	
Inventor's Signature					Date		
Residence: City		State		Country		Citizenship	
Mailing Address							
Mailing Address							
City		State		Zip		Country	

[] Additional inventors are being named on supplemental sheet(s) attached hereto

4919

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

101377827A

AUGUST 04, 2000

FENWICK & WEST LLP
MICHAEL W. FARN
2 PALO ALTO SQUARE
PALO ALTO, CA 94306

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PTAS
AUG 14 2000
FENWICK & WEST LLP

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/26/2000

REEL/FRAME: 010827/0487
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR''S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
VERMA, ASHISH K.

DOC DATE: 05/25/2000

ASSIGNOR:
FRANCIS, DANIEL A.

DOC DATE: 05/25/2000

ASSIGNEE:
GENOA CORPORATION
41762 CHRISTY STREET
FREMONT, CALIFORNIA 94538

SERIAL NUMBER: 09580322
PATENT NUMBER:

FILING DATE: 05/26/2000
ISSUE DATE:

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A
Expires 06/30/99
OMB 0651-0027

06-08-2000

101377827

U.S. Department of Commerce
Patent and Trademark Office
PATENT

JC525 U.S. PTO
09/580322
05/26/00

RECORDATION FORM COVER SHEET
PATENTS ONLY

TO: Th Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- [X] New
- Resubmission (Non-Recordation)
- [] Document ID# []
- Correction of PTO Error
- [] Reel # [] Frame # []
- Corrective Document
- [] Reel # [] Frame # []

Conveyance Type

- [X] Assignment
- [] Security Agreement
- [] License
- [] Change of Name
- [] Merger
- [] Other []

U.S. Government
(For Use ONLY by U.S. Government Agencies)
- [] Departmental File
- [] Secret File

Conveying Party(ies)

[] Mark if additional names of conveying parties attached

Name (line 1): Ashish K. Verma — Execution Date Month Day Year: 05/25/2000

Name (line 2):

S cond Party

Name (line 1): Daniel A. Francis — Execution Date Month Day Year: 05/25/2000

Name (line 2):

09/580322

Receiving Party

[] Mark if additional names of receiving parties attached

Name (line 1): GenOA Corporation

Name (line 2):

Address (line 1): 41762 Christy Street

Address (line 2):

Addr ss (line 3): Fremont | CA | 94538

[] If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. *(Designation must be a separate document from Assignment.)*

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name:

Address (line 1):

Address (line 2):

Address (line 3):

Address (line 4):

06/05/2000 TDIRENG 00000042 09580322
01 FC:580 40.00 CH

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01 FC:580 40.00 CH

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Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with requir d c ver sheets) informati n to:
Commissioner of Patents and Trademarks, B x Assignments, Washingt n, D.C. 20231

FORM PTO-1619B
Expires 06/30/99
OMB 0651-0027

U.S. Department of Commerce
Patent and Trademark Office
PATENT

Correspondent Name and Address

Area Code and Telephone: (650) 858-7823

Name: Michael W. Farn
Address (line 1): Fenwick & West LLP
Address (line 2): 2 Palo Alto Square
Address (line 3): Palo Alto, CA 94306
Address (line 4):

Pages

Enter the total number of pages of the conveyance document including attachments # 2

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)			Patent Number(s)		

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor. Month Day Year: 05/25/2000

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned

PCT ____ PCT ____ PCT ____
PCT ____ PCT ____ PCT ____

Number of Properties

Enter the total number of properties involved. # 1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): $ 40

Method of Payment: Enclosed ☐ Deposit Account ☒

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number: # 19-2555

Authorization to charge additional fees: Yes ☒ No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Michael W. Farn	Michael W. Farn	May 26, 2000
Name of Person Signing	Signature	Date

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the person(s) named below (referred to as "INVENTOR" whether singular or plural) has sold, assigned, and transferred and does hereby sell, assign, and transfer to GenOA Corporation, a California corporation, having a place of business at 41762 Christy Street, Fremont, CA 94538 ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The entire worldwide right, title, and interest in all inventions and improvements ("SUBJECT MATTER") that are disclosed in the application for United States Letters Patent entitled: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE ("APPLICATION"), which:

☒ is to be filed herewith

☐ was filed on _____, now bearing U.S. serial number _____

and for which a Declaration was executed by INVENTOR on the date(s) below; and

2. The entire worldwide right, title, and interest in and to:

(a) the APPLICATION, including any right of priority; (b) any divisional, continuation, substitute, renewal, reissue, and other related applications thereto which have been or may be filed in the United States or elsewhere in the world; and (c) any patents which may be granted on the applications set forth in (a) and (b) above.

INVENTOR agrees that ASSIGNEE may apply for and receive patents for SUBJECT MATTER in ASSIGNEE's own name.

INVENTOR agrees to do the following, when requested, and without further consideration, in order to carry out the intent of this Assignment: (1) execute all oaths, assignments, powers of attorney, applications, and other papers necessary or desirable to fully secure to ASSIGNEE the rights, titles and interests herein conveyed; (2) communicate to ASSIGNEE all known facts relating to the SUBJECT MATTER; and (3) generally do all lawful acts that ASSIGNEE shall consider desirable for securing, maintaining, and enforcing worldwide patent protection relating to the SUBJECT MATTER and for vesting in ASSIGNEE the rights, titles, and interests herein conveyed. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE hereunder.

INVENTOR represents that INVENTOR has the rights, titles, and interests to convey as set forth herein, and covenants with ASSIGNEE that the INVENTOR has made or will make hereafter no assignment, grant, mortgage, license, or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR grants the attorney of record the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment.

Name and Signature	Date of Signature	Date Declaration Executed By This Person
Ashish K. Verma	5/25 ,2000	5/25 ,2000 NF

State of _____

County of _____

On _____ before me, _____ personally

[DATE] [NOTARY PUBLIC]

appeared Ashish K. Verma, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal

Title of Document: **ASSIGNMENT**

Re:
Title: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE
Filed: (if applicable) N/A
Serial No.: (if applicable) N/A

Name and Signature	Date of Signature	Date Declaration Executed By This Person
Arnold C. Chen	,2000	,2000

State of _____
County of _____

On _____ before me, _____ personally
[DATE] [NOTARY PUBLIC]
appeared Arnold C. Chen personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal

Name and Signature	Date of Signature	Date Declaration Executed By This Person
Daniel A. Francis	May 25 ,2000	5/25 ,2000 NF

State of _____
County of _____

On _____ before me, _____ personally
[DATE] [NOTARY PUBLIC]
appeared Daniel A. Francis personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Offic
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 30, 2000

PTAS

101483944A

FENWICK & WEST LLP
MICHAEL W. FARN
2 PALO ALTO SQUARE
PALO ALTO, CA 94306

RECEIVED
DEC 11 2000
FENWICK & WEST LLP

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/05/2000
REEL/FRAME: 011135/0378
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR''S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
CHEN, ARNOLD C.
DOC DATE: 08/23/2000

ASSIGNEE:
GENOA CORPORATON
41762 CHRISTY STREET
FREMONT, CALIFORNIA 94538

SERIAL NUMBER: 09580322
FILING DATE: 05/26/2000
PATENT NUMBER:
ISSUE DATE:

MARCUS KIRK, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A
Expires 06/30/99
OMB 0651-0027

10-11-2000

101483944

U.S. Department of Commerce
Patent and Trademark Office
PATENT

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RECORDATION FORM COVER SHEET
PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

9-5-00

☒ New

Resubmission (Non-Recordation)

☐ Document ID# _____

Correction of PTO Error

☐ Reel # _____ Frame # _____

Corrective Document

☐ Reel # _____ Frame # _____

Conveyance Type

☒ Assignment ☐ Security Agreement

☐ License ☐ Change of Name

☐ Merger ☐ Other _____

U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1): Arnold C. Chen

Name (line 2):

Execution Date
Month Day Year: 08/23/2000

Second Party

Name (line 1):

Name (line 2):

Execution Date
Month Day Year:

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1): GenOA Corporation

Name (line 2):

Address (line 1): 41762 Christy Street

Address (line 2):

Address (line 3): Fremont CA 94538

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. *(Designation must be a separate document from Assignment.)*

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name:

Address (line 1):

Address (line 2):

Address (line 3):

Address (line 4):

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10/10/2000 MTHAI1 00000284 09580322

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Michael W. Farn	Michael W. Farn	08/31/2000
Name of Person Signing	Signature	Date

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the person(s) named below (referred to as "INVENTOR" whether singular or plural) has sold, assigned, and transferred and does hereby sell, assign, and transfer to GenOA Corporation, a California corporation, having a place of business at 41762 Christy Street, Fremont, CA 94538 ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The entire worldwide right, title, and interest in all inventions and improvements ("SUBJECT MATTER") that are disclosed in the application for United States Letters Patent entitled: ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE ("APPLICATION"), which:

☐ is to be filed herewith

☒ was filed on 05/26/2000, now bearing U.S. serial number 09/580,322

and for which a Declaration was executed by INVENTOR on the date(s) below; and

2. The entire worldwide right, title, and interest in and to:

(a) the APPLICATION, including any right of priority; (b) any divisional, continuation, substitute, renewal, reissue, and other related applications thereto which have been or may be filed in the United States or elsewhere in the world; and (c) any patents which may be granted on the applications set forth in (a) and (b) above.

INVENTOR agrees that ASSIGNEE may apply for and receive patents for SUBJECT MATTER in ASSIGNEE's own name.

INVENTOR agrees to do the following, when requested, and without further consideration, in order to carry out the intent of this Assignment: (1) execute all oaths, assignments, powers of attorney, applications, and other papers necessary or desirable to fully secure to ASSIGNEE the rights, titles and interests herein conveyed; (2) communicate to ASSIGNEE all known facts relating to the SUBJECT MATTER; and (3) generally do all lawful acts that ASSIGNEE shall consider desirable for securing, maintaining, and enforcing worldwide patent protection relating to the SUBJECT MATTER and for vesting in ASSIGNEE the rights, titles, and interests herein conveyed. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE hereunder.

INVENTOR represents that INVENTOR has the rights, titles, and interests to convey as set forth herein, and covenants with ASSIGNEE that the INVENTOR has made or will make hereafter no assignment, grant, mortgage, license, or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR grants the attorney of record the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment.

Name and Signature	Date of Signature	Date Declaration Executed By This Person
_____	_____,2000	_____,2000
Ashish K. Verma		

State of _____
County of _____

On _____ before me, _____ personally
[DATE] [NOTARY PUBLIC]

appeared Ashish K. Verma, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal

Title of Document: **ASSIGNMENT**

Re:
Title: : ELECTRICALLY PUMPED VERTICAL OPTICAL CAVITY WITH IMPROVED ELECTRICAL PERFORMANCE
Filed: (if applicable) 05/26/2000
Serial No.: (if applicable) 09/580,322

Name and Signature	Date of Signature	Date Declaration Executed By This Person
Arnold C. Chen	8/23 ,2000	8-23 ,2000

State of _____
County of _____

On _____ before me, _____ personally
[DATE] [NOTARY PUBLIC]
appeared Arnold C. Chen personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal

Name and Signature	Date of Signature	Date Declaration Executed By This Person
Daniel A. Francis	,2000	,2000

State of _____
County of _____

On _____ before me, _____ personally
[DATE] [NOTARY PUBLIC]
appeared Daniel A. Francis personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Notary

Notary Seal